

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

-----X  
TREVOR MURRAY,

Plaintiff,

v.

UBS SECURITIES LLC and UBS AG,

Defendants.:  
-----X

USDC SDNY  
DOCUMENT  
ELECTRONICALLY FILED  
DOC #:  
DATE FILED: 12/22/17

14 Civ. 927 (KPF)

KATHERINE POLK FAILLA, District Judge:

PLEASE CHECK (✓) YOUR ANSWERS

All jurors must agree on the answers to all of the questions:

Sarbanes-Oxley Anti-Retaliation Claim

1. Has Mr. Murray proved, by a preponderance of the evidence, all four elements of his claim under Section 1514A of the Sarbanes-Oxley Act?

Yes ☒ No ☐

*If you have answered "Yes" to Question 1, please continue on to Question 2. If you have answered "No" to Question 1, please proceed to the last page and sign the verdict form.*

2. Has UBS proved, by clear and convincing evidence, that it would have terminated Mr. Murray's employment in or about February 2012 even if he had not engaged in protected activity?

Yes ☐ No ☒

*If you have answered "Yes" to Question 2, please proceed to the last page and sign the verdict form. If you have answered "No" to Question 2, please continue on to Question 3.*

Damages

3. a. Has Mr. Murray proved, by a preponderance of the evidence, that he is entitled to back pay for part or all of the time period from February 20, 2012, through the date of your verdict?

Yes ☒ No ☐

*If you have answered "Yes" to Question 3(a), please continue on to Questions 3(b) and 3(c). If you have answered "No" to Question 3(a), please proceed to Question 5.*

- b. Has UBS proved by a preponderance of the evidence that Mr. Murray failed to mitigate his back pay damages?

Yes ☐ No ☒

- c. Based on your answers to Questions 3(a) and 3(b), how much back pay is Mr. Murray entitled to receive? Your award should reflect the deduction of any amounts that Plaintiff did earn, or could earn, from appropriate mitigation efforts.

\$ 653,300.00

4. a. Has Mr. Murray proved, by a preponderance of the evidence, that he is entitled to front pay for any future time period going forward from the date of your verdict?

Yes ☐ No ☒

*If you have answered "Yes" to Question 4(a), please continue on to Questions 4(b)-(d). If you have answered "No" to Question 4(a), please proceed to Question 5.*

- b. Has UBS proved by a preponderance of the evidence that Mr. Murray failed to mitigate his front pay damages?

Yes ☐ No ☐

- c. Based on your answers to Questions 4(a) and 4(b), how much front pay is Mr. Murray entitled to receive? Your award should reflect the deduction of any amounts that Plaintiff would earn from appropriate mitigation efforts.

\$ \_\_\_\_\_

- d. If you award front pay damages, for what time period are you awarding them?

From \_\_\_\_\_ to \_\_\_\_\_

5. Has Mr. Murray proved, by a preponderance of the evidence, that he is entitled to compensatory damages for non-economic harm?

Yes ☒ No ☐

- i. If "Yes," in what amount?

\$ 250,000

After the Jury has reached unanimous agreement on all the questions and completed the form, each juror must sign below:

Rosemary Gumpion  
Foreperson  
[Signature]  
[Signature]  
[Signature]

[Signature]  
[Signature]  
[Signature]  
[Signature]

Dated: 12/21/17